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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO
10/676,705	09/30/2003	Anna Marie Aguinaldo	A-71431-3	8128
7	590 08/23/2006	OFFE	EXAM	INER
Robin M. Silva, Esq. Dorsey & Whitney LLP Intellectual Property Department		(to	HISSONG, BRUCE D	
		SEP 0 5 2006	ART UNIT	PAPER NUMBER
	lero Center, Suite 3400		1646	
San Francisco,	CA 94111-4187	A PADEMARKO	DATE MAILED: 08/23/2000	5

Please find below and/or attached an Office communication concerning this application or proceeding.

	Application No.	Applicant(s)
	10/676,705	AGUINALDO ET AL.
Office Action Summary	Examiner	Art Unit
	Bruce D. Hissong, Ph.D.	1646
The MAILING DATE of this communication ap	ppears on the cover sheet with the c	orrespondence address
Period for Reply	VIO OCT TO CYDIDE AMONTU!	C) OD THIDTY (30) DAVC
A SHORTENED STATUTORY PERIOD FOR REPI WHICHEVER IS LONGER, FROM THE MAILING I - Extensions of time may be available under the provisions of 37 CFR 1 after SIX (6) MONTHS from the mailing date of this communication. - If NO period for reply is specified above, the maximum statutory period - Failure to reply within the set or extended period for reply will, by statu Any reply received by the Office later than three months after the maili earned patent term adjustment. See 37 CFR 1.704(b).	DATE OF THIS COMMUNICATION .136(a). In no event, however, may a reply be timed will apply and will expire SIX (6) MONTHS from the cause the application to become ABANDONE	1. nely filed the mailing date of this communication. D (35 U.S.C. § 133).
Status		
1) Responsive to communication(s) filed on <u>02</u>	June 2006.	
/	is action is non-final.	
3) Since this application is in condition for allow		
closed in accordance with the practice under	Ex parte Quayle, 1935 C.D. 11, 45	03 O.G. 213.
Disposition of Claims		
4) Claim(s) 1-37 is/are pending in the applicatio		
4a) Of the above claim(s) <u>6,8,9,13-26,29-34,3</u>	36 and 37 is/are withdrawn from co	nsideration.
5) Claim(s) is/are allowed.		•
6) Claim(s) <u>1-5, 7, 10-12, 27-28, and 35</u> is/are r	ejectea.	
7) Claim(s) is/are objected to. 8) Claim(s) are subject to restriction and/	or election requirement.	
o) Claim(s) are subject to receive the		
Application Papers		
9) The specification is objected to by the Examir		
10) The drawing(s) filed on is/are: a) ac		
Applicant may not request that any objection to th Replacement drawing sheet(s) including the corre		
11) The oath or declaration is objected to by the E		
Priority under 35 U.S.C. § 119		
12) Acknowledgment is made of a claim for foreign	un priority under 35 U.S.C. § 119(a))-(d) or (f).
a) All b) Some * c) None of:	in priority and or or or or or or or	, (-, -, ()
1. Certified copies of the priority document	nts have been received.	
2. Certified copies of the priority docume		
Copies of the certified copies of the pri		ed in this National Stage
application from the International Bure		
* See the attached detailed Office action for a lis	st or the certified copies flot receive	cu.
Attachment(s)		(070,442)
1) Notice of References Cited (PTO-892) 2) Notice of Draftsperson's Patent Drawing Review (PTO-948)	4) Interview Summary Paper No(s)/Mail D	ate
3) Information Disclosure Statement(s) (PTO-1449 or PTO/SB/0 Paper No(s)/Mail Date	8) 5) ☐ Notice of Informal F 6) ☑ Other: <u>sequence co</u>	Patent Application (PTO-152) Imparisons 1 and 2.

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DETAILED ACTION

Election/Restrictions

- 1. Applicant's election without traverse of Group I, claims 1-29 and 35, and SEQ ID NO: 15, in the reply filed on 6/2/2006 is acknowledged.
- 2. Applicant's election with traverse of the specific modification/substitution F8E in the reply filed on 6/2/2006 is acknowledged. The traversal is on the ground(s) that the claimed mutations are presented in Markush format, and restriction among Markush group members is improper. The Applicants argue that the restriction requirement therefore be withdrawn, or alternatively, be held as an election of species.

These arguments have been fully considered and are not found persuasive. Each of the claimed mutations would result in a polypeptide with a different sequence, and different physical/biochemical characteristics. The MPEP, 806.04(b) states "Species may be either independent or related under the particular disclosure. Where species under a claimed genus are not connected in any of design, operation, or effect under the disclosure, the species are independent inventions." In the instant case, the claimed mutations produce polypeptides with a different sequence and therefore are not connected by design. Furthermore, it is noted that searching each of the claimed mutations, alone or in combination, represents an undue search burden because any search of a mutation(s) involves searching the mutation(s) itself, and the effect of the mutation(s) on the polypeptide.

The requirement is still deemed proper and is therefore made FINAL.

3. Claims 6, 8, 9, 13-26, 29-34, and 36-37 are therefore drawn to non-elected inventions, and are thus withdrawn. Therefore, claims 1-37 are currently pending, and claims 1-5, 7, 10-12, 27-28, and 35 are the subject of this office action.

Priority

The instant application, filed on 9/30/2003, claims benefit to provisional applications 60/489,725 (filed 7/24/2003), 60/477,246 (filed 6/10/2003), and 60/415,541 (filed 10/1/2002).

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However, provisional application 60/415,541 does not specifically teach the F8E mutation in interferon (IFN)- β , or any other polypeptide, and thus does not provide support for the instant application. Accordingly, the earliest effective filing date of the instant application has been determined to be 6/10/2003.

Claim Objections

- 1. Claims 1-5 are objected to for reciting non-elected subject matter. Due to the election of SEQ ID NO: 15, the recitation of other SEQ ID NOs represents non-elected subject matter. Furthermore, claims 7 and 35 are objected to for depending from claim 1.
- 2. Claims 10-12 and 27-28 are objected to for reciting non-elected subject matter. Due to the election of the F8E modification, the recitation of other modifications represents non-elected subject matter.
- 3. Claim 12 is objected to under 37 CFR 1.75(c), as being of improper dependent form for failing to further limit the subject matter of a previous claim. Applicant is required to cancel the claim(s), or amend the claim(s) to place the claim(s) in proper dependent form, or rewrite the claim(s) in independent form. In the instant case, due to the election of the F8E modification, both claim 11 and 12 read on a type I IFN variant comprising the F8E mutation.

Claim Rejections - 35 USC § 101

35 U.S.C. 101 reads as follows:

Whoever invents or discovers any new and useful process, machine, manufacture, or composition of matter, or any new and useful improvement thereof, may obtain a patent therefor, subject to the conditions and requirements of this title.

Claims 1-5, 7, 10-12, 27-28, and 35 are rejected under 35 U.S.C. 101 because the claimed invention is directed to non-statutory subject matter. The claims are drawn to variant IFN proteins that may already be present in nature, and as written, do not show the "hand of man" in the inventive process. This rejection may be obviated by amending the claims to recite an "isolated variant".

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Claim Rejections - 35 USC § 112, first paragraph - enablement

The following is a quotation of the first paragraph of 35 U.S.C. 112:

The specification shall contain a written description of the invention, and of the manner and process of making and using it, in such full, clear, concise, and exact terms as to enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the same and shall set forth the best mode contemplated by the inventor of carrying out his invention.

Claims 1-5, 7, 10-12, 27-28, and 35 are rejected under 35 U.S.C. 112, first paragraph, because the specification, while being enabling for a variant IFN-β polypeptide comprising the F8E modification, does not reasonably provide enablement for all other possible IFN variants. The specification does not enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the invention commensurate in scope with these claims.

The factors to be considered when determining if the disclosure satisfies the enablement requirement have been summarized as the quantity of experimentation necessary, the amount of direction or guidance presented, the presence or absence of working examples, the nature of the invention, the state of the prior art, the relative skill of those in the art, the predictability or unpredictability of the art, and the breath of claims. Ex Parte Forman, (230 USPQ 546 (Bd. Pat. App. & Int. 1986); In re Wands, 858 F.2d 731, 8 USPQ 2d 1400 (Fed. Cir. 1988).

Claims 1-5, 7, and 10 are rejected due to the excessive breadth of the claims, which read on any possible variant of a type I IFN protein that exhibits increased solubility relative to a wild-type IFN protein. The breadth of the claims is also broad because the claims read on type I IFN variants that exhibit increased solubility in any type of medium/solution (e.g. water, physiological saline, lipids, etc). The claims are further drawn to a variant that retains at least one biological activity, exhibits reduced immunogenecity, and is incapable of dimer formation. Although the examples of the specification provide guidance for creating variant IFN polypeptides, there are no specific examples of any IFN-β polypeptide, or any other IFN polypeptide, that meets these claim limitations. Furthermore, claims 1-5 and 7 are excessively broad because they are directed to polypeptides that are "variants" of a type I IFN polypeptide, or differ from a naturally occurring IFN polypeptide by at least on substitution of a solvent-exposed residue (claim 3), or are "derived" from IFN-β, and as such, could read on substitution of all or most of the amino acid residues of a type I IFN polypeptide so long as at least one solvent-exposed residue is substituted. The specification does not provide guidance or

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examples of any IFN polypeptide "variant" that is "derived" from IFN- β , other than the IFN- β polypeptides of the examples, and as stated above, does not show any polypeptide that retains at least one biological activity, exhibits reduced immunogenicity, and is incapable of dimer formation. A person of ordinary skill in the art would not be able to predict which amino acids, whether solvent-exposed/hydrophobic or otherwise could be substituted with any other amino acid and produce a variant polypeptide, or any polypeptide "derived" from IFN-B, with increased solubility. It is known in the art that even single amino acid changes or differences in the amino acid sequence of a protein can have dramatic effects on the protein's function. As an example of the unpredictable effects of mutations on protein function, Mickel et al (Med. Clin. North Am., 2000, Vol. 84(3), p. 597-607) teaches that cystic fibrosis is an autosomal recessive disorder caused by abnormal function of a chloride channel, referred to as the cystic fibrosis transmembrane conductance regulator (CFTR - p. 597). Several mutations can cause cystic fibrosis, including the G551D mutation. In this mutation, a glycine replaces the aspartic acid at position 551, giving rise to the cystic fibrosis phenotype. In the most common cystic fibrosis mutation, Δ -F508, a single phenylalanine is deleted at position 508, giving rise to the cystic fibrosis phenotype. Thus, even the substitution or deletion of a single amino acid can have dramatic and unpredictable effects on the function of the protein.

Therefore, without adequate guidance from the specification, one of ordinary skill in the art would require further, undue experimentation to produce an IFN polypeptide variant that is commensurate in scope with the claims of the instant invention. This is the case for variant IFN polypeptides comprising modifications at any base, as in claim 1, and also for IFN-β variants comprised of the specific modification sites recited in claim 10. Although claim 10 recites specific modification sites, a skilled artisan would still require further, undue experimentation to determine the effects of replacing the amino acids at the claimed positions with any of the recited amino acids. Finally, claims 11-12, 27-28, and 35 are rejected for depending from rejected base claims.

In summary, due to the excessive breadth of the claims, which read variant IFN polypeptides comprising a modification(s) at all possible amino acid positions, the lack of guidance and examples in the specification showing any IFN polypeptide variant, or any IFN polypeptide "derived" from IFN- β , or with unlimited modifications, that would produce a polypeptide that meets the limitations of the claims, and the unpredictability inherent in the art regarding the effects of modifying all possible amino acids residues of an IFN polypeptide, a

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person of ordinary skill in the art would require further, undue experimentation to create a variant IFN polypeptide, other than a polypeptide comprising a F8E mutation of SEQ ID NO: 15, that is commensurate in scope with the claims of the instant invention.

Claim Rejections - 35 USC § 112, first paragraph – written description

Claims 1-5, 7, 10-12, 27-28, and 35 are rejected under 35 U.S.C. 112, first paragraph, containing subject matter which was not described in the specification in such a way as to reasonably convey to one skilled in the relevant art that the inventor(s), at the time the application was filed, had possession of the claimed invention.

Claims 1-5, 7, and 10 are drawn to variant IFN polypeptides comprising *at least* one modification, wherein the variant polypeptide exhibits improved solubility relative to a wild-type IFN, retains at least one biological activity, differs from a naturally occurring IFN by at least one substitution of a solvent-exposed, hydrophobic residue, is incapable of dimer formation, and has reduced immunogenicity compared to a wild-type IFN. The claims do not require the variant IFN proteins of the instant invention to have any biological activity other that to retain at least one biological activity selected from immunomodulatory, antiviral, or antineoplastic activities, nor any particular structure other than comprising *at least* one modification/substitution at a solvent-exposed, hydrophobic residue. As stated in the preceding enablement rejection, the IFN variants or derivatives can be an IFN polypeptide substituted at any or all amino acid residues. The specification does not provide guidance or examples of any specific polypeptide, other than the IFN-β polypeptide of SEQ ID NO: 15 comprising a F8E substitution, that meets these claim limitations, and therefore the specification has not adequately described the genus of polypeptides that meet these limitations.

To provide adequate written description and evidence of possession of a claimed genus, the specification must provide sufficient distinguishing identifying characteristics of the genus. The factors to be considered include disclosure of complete or partial structure, physical and/or chemical properties, functional characteristics, structure/function correlation, methods of making the claimed product, or any combination thereof. In this case, the only factor present in the claims is a requirement that the variant IFN protein must retain at least one biological activity and comprise *at least* one modification of a solvent-exposed hydrophobic residue, or be otherwise "derived" from the IFN-β polypeptide of SEQ ID NO: 15. There is no identification of

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any particular portion of any IFN variant protein that must be conserved in order to maintain function. Accordingly, in the absence of sufficient distinguishing characteristics, the specification does not provide adequate written description of the claimed genus.

Claim Rejections - 35 USC § 112, second paragraph

The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

Claim 4 is rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention. The metes and bounds of the term "incapable" are not defined by the claim, as there are known methods for artificially inducing polypeptides to form dimers (e.g. proteins dimerized by binding of an antibody). The Examiner suggest amending the claim to read, as an example and without adding new matter, "wherein said variant interferon does not naturally form dimers", or "wherein said variant interferon does not form dimers in vivo."

Claim Rejections - 35 USC § 102

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless -

- (a) the invention was known or used by others in this country, or patented or described in a printed publication in this or a foreign country, before the invention thereof by the applicant for a patent.
- (e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.
- 1. Claims 1-5, 27, and 35 are rejected under 35 U.S.C. 102(a) as being anticipated by Whitty *et al* (US 2002/0155547A1). The claims of the instant invention are drawn to a variant IFN protein that exhibits improved solubility relative to a wild-type IFN protein, maintains at least one biological activity, is incapable of dimer formation, exhibits reduced immonogenicity, and differs from a naturally occurring IFN by at least one substitution of a solvent-exposed hydrophobic residue. Whitty *et al* teach variants of IFN proteins, including IFN- β , wherein at

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least one solvent-exposed hydrophobic amino acid residue is replaced by another amino acid residue (see paragraph 0092). Specifically, Table 1 discloses an IFN-β polypeptide in which the phenylalanine at position 8 is replaced with an alanine. Although Whitty et al does not specifically disclose the IFN-β variants as having improved solubility, reduced immuogenicity, maintaining at least one biological activity, or being incapable of dimer formation, it would be expected, in the absence of evidence to the contrary, that the IFN-β polypeptide disclosed by Whitty et al in Table 1 would inherently possess these features due to the replacement of the solvent-exposed phenylalanine at position 8. Because the USPTO does not have the facilities for testing the properties of the disclosed IFN-β variant of Whitty et al, the burden is on the applicant to show a novel and unobvious difference between the claimed IFN variant and that of the prior art. See In re Best, 562 F.2d 1252, 195 USPQ 430 (CCPA 1977) and Ex parte Gray, 10 USPQ 2d 1922 1923 (PTO Bd. Pat. App. & Int.). Therefore, the IFN-β variant disclosed by Whitty et al meets the limitations of claims 1-5 and 27 of the instant application. Furthermore, Whitty et al teaches "therapeutic compositions" of IFN variants (paragraph 0044), with said compositions comprising the IFN polypeptides and other physiologically compatible ingredients. Because "physiologically compatible ingredients" would encompass pharmaceutical carriers, Whitty et al also meets the limitations of claim 35 of the instant application.

2. Claims 1-5, 7, 10-12, 27-28, and 35 are rejected under 35 U.S.C. 102(a) as being anticipated by Pedersen *et al* (US 6,531,122). The subject matter of the claims of the instant invention is discussed *supra*. The claims are further drawn to an IFN variant derived from the sequence of SEQ ID NO: 15, wherein said variant results from replacing the phenylalanine at position 8 with another amino acid, specifically glutamic acid. Pedersen *et al* teaches IFN-β variants produced for the purpose of conjugation to various polymers. Specifically, Pedersen teaches replacement of various amino acids, including the phenylalanine at position 8 (F8), with other amino acids such as lysine (column 14, line 54 – column 15, line 20) or glutamic acid (column 17, line 58 – column 18, line 38). Thus, Pedersen *et al* discloses an IFN-β variant with an F8E substitution. Pedersen *et al* also teaches that the "parent" IFN-β has the sequence of SEQ ID NO: 2, which is 100% identical to the polypeptide of SEQ ID NO: 15 of the instant application (see sequence comparison 1, and column 9, lines 50-56). In additional, Pedersen *et al* discloses IFN-β molecules with decreased immunogenicity, and retaining biological activity (column 13, lines 16-38). Furthermore, even if Pedersen *et al* did not specifically teach reduced

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immunogenicity and maintenance of biological function, it would be expected, in the absence of evidence to the contrary, that the IFN- β variants comprising the F8E substitution would inherently exhibit improved solubility relative to a wild-type IFN- β , maintain at least one biological activity, be incapable of dimer formation, and exhibit reduced immunogenicity compared to a wild-type IFN- β polypeptide because the IFN- β F8E polypeptide taught by Pedersen *et al* is identical to the F8E IFN- β polypeptide of the instant invention. Because the USPTO does not have the facilities for testing the properties of the disclosed IFN- β variant of Pedersen *et al*, the burden is on the applicant to show a novel and unobvious difference between the claimed IFN variant and that of the prior art. See In re Best, 562 F.2d 1252, 195 USPQ 430 (CCPA 1977) and Ex parte Gray, 10 USPQ 2d 1922 1923 (PTO Bd. Pat. App. & Int.).

Therefore, by teaching IFN- β variants derived from a sequence that is 100% identical to that of SEQ ID NO: 15, wherein the variants are characterized by replacement of F8 amino acid with a glutamic acid residue, Pedersen *et al* teaches an IFN- β F8E variant, and therefore meets the limitations of claims 1-5, 7, 10-12, and 27-28 of the instant application. Furthermore, Pedersen et al also discloses a variety of pharmaceutical compositions for administering IFN- β polypeptides and conjugates (column 38, line 47 – column 44, line 20), thus meeting the limitations of claim 35 of the instant application.

3. Claims 1-5, 7, 10-12, 27-28, and 35 are rejected under 35 U.S.C. 102(e) as being anticipated by Gantier *et al* (US 2004/0132977A1). The claims of the instant invention are drawn to variant IFN polypeptides, and with the election of SEQ ID NO: 15 and the F8E modification, are specifically drawn to a variant IFN-β polypeptide comprising a F8E modification. Claim 35 is further drawn to a pharmaceutical composition comprising a variant IFN protein and a pharmaceutically acceptable carrier. Gantier *et al* discloses a polypeptide, SEQ ID NO: 1122, that is 100% identical to the polypeptide of SEQ ID NO: 15 with a glutamic acid residue substituted for the phenylalanine at position 8 (see sequence comparison 2). Thus, by teaching an IFN-β polypeptide with a F8E modification/substitution, Gantier *et al* meets the limitations of claims 7, 10-12, and 27-28 of the instant application. Gantier *et al* also teaches pharmaceutical compositions of various modified polypeptides (see paragraph 0017), and thus also meets the limitations of claim 35. Although Gantier *et al* does not specifically teach an IFN variant that exhibits improved solubility relative to a wild-type IFN, retains at least one biological

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activity, is incapable of dimer formation, differs from a naturally occurring IFN by at least one substitution of a solvent-exposed hydrophobic residue, or has reduced immunogenicity compared to a wild-type IFN, the F8E IFN- β polypeptide disclosed by Gantier *et al* would be expected to inherently meet these claim limitations because it is identical to the F8E IFN- β polypeptide of the instant application, and thus anticipates claims 1-5 of the instant application.

Double Patenting

The nonstatutory double patenting rejection is based on a judicially created doctrine grounded in public policy (a policy reflected in the statute) so as to prevent the unjustified or improper timewise extension of the "right to exclude" granted by a patent and to prevent possible harassment by multiple assignees. A nonstatutory obviousness-type double patenting rejection is appropriate where the conflicting claims are not identical, but at least one examined application claim is not patentably distinct from the reference claim(s) because the examined application claim is either anticipated by, or would have been obvious over, the reference claim(s). See, e.g., *In re Berg*, 140 F.3d 1428, 46 USPQ2d 1226 (Fed. Cir. 1998); *In re Goodman*, 11 F.3d 1046, 29 USPQ2d 2010 (Fed. Cir. 1993); *In re Longi*, 759 F.2d 887, 225 USPQ 645 (Fed. Cir. 1985); *In re Van Ornum*, 686 F.2d 937, 214 USPQ 761 (CCPA 1982); *In re Vogel*, 422 F.2d 438, 164 USPQ 619 (CCPA 1970); and *In re Thorington*, 418 F.2d 528, 163 USPQ 644 (CCPA 1969).

A timely filed terminal disclaimer in compliance with 37 CFR 1.321(c) or 1.321(d) may be used to overcome an actual or provisional rejection based on a nonstatutory double patenting ground provided the conflicting application or patent either is shown to be commonly owned with this application, or claims an invention made as a result of activities undertaken within the scope of a joint research agreement.

Effective January 1, 1994, a registered attorney or agent of record may sign a terminal disclaimer. A terminal disclaimer signed by the assignee must fully comply with 37 CFR 3.73(b).

Claims 1-5, 7, 10-12, 27-28, and 35 are provisionally rejected on the ground of nonstatutory obviousness-type double patenting as being unpatentable over claims 1-15 of copending Application No. 10/820,467. Although the conflicting claims are not identical, they are not patentably distinct from each other because both applications claim variant IFN polypeptides comprising modification at various residues, including substitution of a glutamic acid residue at position 8 of wild-type IFN-β. The claims of both applications also recite variant IFN proteins that exhibit increased solubility relative to a wild-type protein, and also exhibit reduced immunogenicity. Although the claims of the '467 application do not specifically recite variant IFN polypeptides that retain at least one biological activity, differ from naturally occurring IFN by at least one substitution of a solvent-exposed hydrophobic residue, or are incapable of dimer formation, the claimed IFN variants of the '467 application would be expected to

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inherently possess these qualities. Therefore, it would be obvious to one of ordinary skill in the art to practice the invention of the instant application by following the claims and teachings of the '467 application. Finally, although the claims of the '467 application do not recite a pharmaceutical composition comprised of a variant IFN protein, it would be obvious to one of ordinary skill in the art to place any variant IFN polypeptide in a composition with a pharmaceutically acceptable carrier, and therefore claim 35 of the instant application is also obvious in view of the claims of the '467 application.

This is a <u>provisional</u> obviousness-type double patenting rejection because the conflicting claims have not in fact been patented.

Conclusion

No claim is allowable.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Bruce D. Hissong, Ph.D., whose telephone number is (571) 272-3324. The examiner can normally be reached M-F from 8:30am - 5:00 pm. If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Gary Nickol, Ph.D., can be reached at (571) 272-0835. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see http://pair-direct.uspto.gov. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

BDH Art Unit 1646

PRIMARY EXAMINER

SEQUENCE COMPARISON 1

```
RESULT 3
US-09-648-569A-2
; Sequence 2, Application US/09648569A
; Patent No. 6531122
; GENERAL INFORMATION:
 APPLICANT: Pedersen, A.H., et al.
  APPLICANT: Maxygen ApS
  TITLE OF INVENTION: Interferon-Beta Variants and Conjugates
  FILE REFERENCE: 0202us810
  CURRENT APPLICATION NUMBER: US/09/648,569A
  CURRENT FILING DATE: 2000-08-25
; NUMBER OF SEQ ID NOS: 45
  SOFTWARE: PatentIn Ver. 2.1
; SEQ ID NO 2
   LENGTH: 166
   TYPE: PRT
   ORGANISM: Homo sapiens
US-09-648-569A-2
                      100.0%; Score 874; DB 2; Length 166;
 Query Match
 Best Local Similarity 100.0%; Pred. No. 1.1e-84;
                            0; Mismatches
                                                        0; Gaps
                                           0; Indels
 Matches 166; Conservative
          1 MSYNLLGFLQRSSNFQCQKLLWQLNGRLEYCLKDRMNFDIPEEIKQLQQFQKEDAALTIY 60
Qу
            1 MSYNLLGFLQRSSNFQCQKLLWQLNGRLEYCLKDRMNFDIPEEIKQLQQFQKEDAALTIY 60
Db
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Qу
            61 EMLQNIFAIFRQDSSSTGWNETIVENLLANVYHQINHLKTVLEEKLEKEDFTRGKLMSSL 120
Db
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Qy
            121 HLKRYYGRILHYLKAKEYSHCAWTIVRVEILRNFYFINRLTGYLRN 166
Db
```

SEQUENCE COMPARISON 2

```
RESULT 1
US-10-658-834A-1122
; Sequence 1122, Application US/10658834A
; Publication No. US20040132977A1
; GENERAL INFORMATION:
; APPLICANT: Gantier, Rene
; APPLICANT: Guyon, Thierry
; APPLICANT: Drittanti, Lila
; APPLICANT: Vega, Manuel
; TITLE OF INVENTION: Rational Evolution of Cytokines for Higher Stability,
Encoding Nucleic
  TITLE OF INVENTION: Acid
TITLE OF INVENTION: Molecules and Related Applications
  FILE REFERENCE: 38751-922
  CURRENT APPLICATION NUMBER: US/10/658,834A
  CURRENT FILING DATE: 2003-09-08
  PRIOR APPLICATION NUMBER: 60/457,135
 PRIOR FILING DATE: 2003-03-21
 PRIOR APPLICATION NUMBER: 60/409,898
 PRIOR FILING DATE: 2002-09-09
; NUMBER OF SEQ ID NOS: 1306
 SOFTWARE: FastSEQ for Windows Version 4.0
; SEQ ID NO 1122
   LENGTH: 166
   TYPE: PRT
   ORGANISM: Homo sapiens
US-10-658-834A-1122
                       100.0%; Score 873; DB 4; Length 166;
  Query Match
 Best Local Similarity 100.0%; Pred. No. 5.1e-75;
                             0; Mismatches 0; Indels
                                                          0; Gaps
                                                                     0;
 Matches 166; Conservative
          1 MSYNLLGELQRSSNFQCQKLLWQLNGRLEYCLKDRMNFDIPEEIKQLQQFQKEDAALTIY 60
Qy
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GENOTYPE-PHENOTYPE RELATIONSHIPS IN CYSTIC FIBROSIS

John E. Mickle, PhD, and Garry R. Cutting, MD

For inherited disorders, the interaction of three factors determines disease severity: (1) the nature of the defect in the responsible gene, (2) the context in which the defective gene operates (i.e., genetic background), and (3) the environmental influences. The contribution of the first component can be assessed by study of the relationship between gene defects and disease severity. Cystic fibrosis (CF) is an autosomal recessive disorder caused by abnormal function of a chloride channel called the CF transmembrane conductance regulator (CFTR). Identification of the gene encoding CFTR and the discovery of numerous mutations in this gene have provided substantial data for genotype-phenotype analysis. Insight into this relationship has also been advanced by the discovery that patients with other disorders that clinically overlap with CF have mutations in each CFTR gene. Animal studies have shown the importance of genetic background. Emerging from this mosaic is a theme common to inherited disorders: Certain aspects of the CF phenotype are primarily determined by type of CFTR mutation, whereas some leatures are heavily influenced by other factors.

1. Cf is a variable disorder. Cl' is a genetic disease of epithelia that is conspicuous in the lungs; pancreas; sweat glands; and, in men, vas deference. The CF phenotype is highly variable among unrelated individuals and within families. Lung disease is the primary cause of death in CF, but pulmonary manifestations show a high degree of interfamilial and intrafamilial phenotypic variability. Likewise, pancreatic disease ranges from complete loss of exocrine and endocrine functions in some CF patients, to partial pancreatic function in others, to pancreatitis only in others. Sweat gland dysfunction results in increased concentrations of

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sodium and chloride in sweat. The level of sweat chloride varies considerably among patients: from near-normal range, 40 to 60 mM/L, to 120 mM/L, with the averago level being about 100 mM/L 12 66 Although useful for diagnostic purposes, abnormal sweat chloride concentrations do not cause illness. Male infertility is probably the most consistent feature of CF. Nearly all men with CF are infertile because of abnormalities in mesonephric duct-derived structures, the commonest of which is

bilateral absence of the vas deferens.

2. Epithelial electrolyte transport is abnormal in CF. The clinical manifestations of CF are believed to be caused by abnormal electrolyte transport across epithelia leading to altered mucus viscosity and recurrent episodes of obstruction, inflammation, and progressive destruction of affected organs. For example, CF lung disease is thought to develop from the combination of absorptive and secretory defects. A Market electrolyte composition of airway surface fluid also affects the activity of antimicrobial peptides." Loss of this activity has been proposed to underlie the predisposition to infection with pathogenic organisms, such as Pseudomonus aeruginosa. The importance of this pathophysiologic mechanism is unclear because precise salt concentration of alrway, surface fluid is a matter of some debate. D. M Either way, defective electrolyte transport as a result of loss of cyclic adenosine monophosphate (cAMP)-activated chloride channels and hyperactivity of sodium channels in epithelial cells is the underlying metabolic derangement in CF.44

3. CFTR is defective in CF. In CF epithelia, the defect in electrolyte transport is attributed to dysfunction of the CF transmembrane conductance regulator (CFTR). ** CFTR is expressed in a tissue-specific manner consistent with CF pathology." In airway and intestinal epithelia, CFTR is localized to the spical membrane, whereas in the sweat duct it is present in the apical and the basolateral membranes. CFTR is an important component in the coordination of electrolyte movement across membranes of epithelial cells. Human CFTR is a 1480 amino acid integral membrane protein of the adenosine triphosphate (ATP)-binding cassette family. S CFTR is composed of two repeated motifs, each with a transmembrane domain (TMD) and a cytoplasmic nucleotide-binding fold (NBF) separated by a hydrophilic regulatory domain (R) (Fig. 1). The protein is a chloride

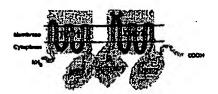


Figure 1. The cystic fibrosis transmembrane conductance regulator (CFTR). CFTR with the five domains indicated. TMD = Transmembrane domain; NBF = nucleotide binding fold; FI = regulatory domain.

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channel activated by cAMP-mediated PKA phosphorylation of the R domain and ATP binding and hydrolysis in the NBFs. I am The activation and inhibition profiles of CFTR are typically used as reference points to evaluate the functional consequences of disease-associated mutations.

4. CFTR regulates separate channels in the same cell. CFTR is involved in ATP efflux and the concomitant regulation of outwardly rectified chloride channels (ORCCs). A. A. A. A. Activation of ORCCs contributes to the whole-cell chloride conductance in epithelial cells. ORCCs have biophysical properties distinct from CFTR. Although protein that forms ORCCs has been reconstituted in planar lipid bilayers, the genes encoding these channels have not been cloned. CFTR is also a regulator of the amiloride-sensitive epithelial sodium channel (liNaC). In the absence of CFTR, ENaC is hyperactive, causing excessive absorption of sodium, increasing the difficulty of hydrating mucus secretions in the respiratory epithelia of CF patients. ENaC is composed of α, β, and γ subunits, for which the

genes have been identified. **

5. Mutations in CFTR cause CF. More than 800 disease-causing mutations have been identified in the CFTR gene® (see also http://www.genet.stckkids.cn.ca/cftr/). The mutation trequencies vary in relation to race and ethnicity. The common CFTR mutation ΔF508 is found on nearly 70% of CF chromosomes worldwide. An additional 20 mutations account for about 15% of CF alleles in white populations, whereas the remainder are rare mutations, occurring on only one or a few chromosomes. To understand the consequences of CFTR mutations, two complementary approaches have been pursued. The first method involves analysis of specific CFTR mutations to determine the functional consequences for the development of genotype-based therapies. The second approach cramines the relationship between genotype and phenotype to determine the clinical implications associated with mutations in CFTR. The particular Insight derived from each approach is discussed here.

FUNCTIONAL CONSEQUENCES OF CFTR MUTATIONS

To provide a framework for understanding the consequences of mutations in CFTR, mutations are grouped into mechanistic classes based on demonstrated or predicted molecular dyshmction (Table 1). Mutations affecting synthesis (class 1), maturation and trafficking (class 2), or activation (class 3) yield little or no functional protein and are usually associated with classic CF: elevated sweat chloride values, exocrine paracreatic deficiency, and obstructive pulmonary disease. Mutations that alter conductance (class 4) and abundance (class 5) diminish but do not eliminate CFTR function and are often associated with less severe phenotypes, such as paracreatic-sufficient CF or atypical CF with borderline sweat chloride levels. Mutations may also affect the ability of CFTR to regulate other channels (class 6), and loss of the regulatory activity may influence phenotypes.

An emerging concept of molecular pathophysiology is that mutations typically exert multiple effects. A mutation may cause more than one mechanistic error that contributes to loss of function and development of a phenotype. For example, the mutation G551D, which is associated with the classic CF phenotype, alters activation of CFTR (class 3) and affects the ability of CFTR to regulate separate channels (class 6). ** ** Likewise, the common CF mutation AF508 alters

Class	Mutation	Defect	Therapy
1	W1282X	Synthesis	Suppress stop mutations
2	AP508	Maturation	Chaperones, overexpression
3 .	C551D	Activation	Increase introcellular cAMP levels, regulate dephasphorylation
4	R117H	Conductance	Augment conduction
5	51	Abundance	Increase inRNA and protein synthesis
. 6	AF508, GS51D	Regulation	Block sodium channels, activate non-CPTR CI channels

"Come replacement therapy is also an option for each class.

processing (class 2) and the regulatory ability of CFTR (class 6). Therapeutic interventions have been developed to circumvent specific mechanistic defects. A major effort has been directed at overcoming the folding defect caused by the common mutation AF508. Two approaches have been chemical stabilization with glycem) and overexpression using sodium 4-phenylbutyrate. ** *** Because optimal therapy may require restoration of CFTR chloride charutel and regulatory functions, however, therapies almied solely at overexpression of mutant CFTR in vivo may have different efficacy depending on the nature and location of the muta-tion. Other channels affected by CFTR dysfunction are also therapeutic targets. For example, CFTR is a regulator of ENaC. In the absence of CFTR, ENaC is hyperactive, causing excessive absorption of sodium. To prevent this excessive absorption, amilloride has been used to block the ENaC channels." As such, combinational therapies may prove necessary to circumvent multiple mechanis-

Two or more CFTR mutations that occur on the same chromosome (in cis) may act in concert to alter CFTR function and modify the CF phenotype. The complex allele R553Q-AF508 has been described to revert partially or ameliorate the phenotypic effects of AF508.14.4 Likewise, other revertants (AF508-V1212I and R334W-R1158X) associated with mild or atypical CF have been described. 7, 42 Two changes on the same allele, however, can elicit a more severe phenotype. For example, the mutation R117H occurs predominantly in cis with either the 5thymidine (5T) or the 7-thymidine (7T) tract variant in intron 8 of CFTR.2 These variants affect the efficiency of mRNA splicing for exon 9 in a tissue specific manner. The R117H-ST allele is associated with a pancreatic-sufficient (PS) CF phenotype. The R117H-7T allele is found in otherwise healthy men with congenital bilateral absence of vas deferens (CBAVD). Even though R117H contributes to CFTR dysfunction by altering conductance (class 4), the PS-CF and CBAVD phenotypes are differentiated by the poly-T variant, which affects CFTR abundance (class 5). Multiple mutations on the same allele effect different phenotypes, and analysis of CFTR mutations in cis provides a means to elucidate intramolecular interactions that affect phenotype.

A subcategory of mutations, polymorphisms, are relatively common in CFTR. By definition, a polymorphism occurs at a frequency of at least 1% in the general population, whereas rare mutations may be observed only once. Polymorphisms are common alterations, but their allelic frequencies often vary among populations. A single polymorphism is not considered sufficient to elicit a clinical phenotype as obligate heterozygotes, and unaffected individuals in the general population harbor single polymorphisms. CFTR bearing the polymor-

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common in least 1% in . only once. s often vary ient to elicit duals in the te polymorphism M470V displays altered processing and channel-gating properties compared with wild-type CFTR when expressed in heterologous cells." M470V occurs in NBF1 along with more than 10 other polymorphisms. In combination with disease-associated mutations or other polymorphisms, M470V may affect phenotype. M470V in cls with the polymorphism F508C has been associated with variable penetrance of CBAVD. The population-based variation of NBF1 polymorphisms may explain the increased incidence of related disorders in different populations when the genetic cause is unclear (e.g., dilfuse panbrunchiolitis in Aslam populations). Another consideration concerns pharmacogenetics. Because alletic variation affects differential drug interactions, pharmaceuticals designed to activate CFTR through NBF1 may be more efficacious in certain populations.

CLINICAL IMPLICATIONS OF CFTR MUTATIONS

The relationship between genotype and phenotype has been investigated by two different approaches. In the first approach, specific genotypes are identified, and the associated clinical manifestations are methodically delineated. Such analysis has prognostic implications for the pathophysiologic consequences of a disease. Alternatively, identification of a distinct phenotype provides an opportunity to examine the underlying genotypes. Genotypes uncovered by this second approach provide information relevant to the genetic cause of related disorders. For validation, both approaches require large numbers of patients with either a specific genotype or a distinct phenotype.

Nearly half of CF patients in the United States are homozygous for the AF508 mutation. In the homozygous state; AF508 is associated with the classic form of the disease, which includes significantly elevated sweat electrolytes, pancreatic insufficiency, and obstructive pulmonary disease that, in rare cases, can be mild. ** Clinical comparison of AF508 homozygotes with patients bearing other genotypes provides a means to determine the phenotypic consequences of other mutations. Because AF508 is relatively frequent, approximately 40% of CF patients are compound heterozygotes harboring ΔF508 on one allele and a different CFTR mutation on the other thromosome. In the Netherlands, the mutation A455E occurs at a relatively high frequency. Analysis of 33 compound heterozygotes carrying A455E on one allele and AF508 on the other revealed better pulmonary function tests and reduced rates of colonization with P. acruginosa than AF508 homozygotes from the same population." These results suggest that A455E produces less severe lung disease in patients in the Netherlands. Similarly a study of nine French-Canadian CF patients with the genotype A455E/AF508 revealed better pulmonary function (percent forced vital capacity and percent forced expiratory volume in 1 second) than five AF508 homozygotes drawn from the same population." These studies indicate that the A455B mutation confers mild lung disease. A455E acts in a dominant fashion to the severe alleles, such as AF508. The same situation is observed for mutations that are associated with pancreatic sufficiency.

associated with parameters summered.

Preservation of parameters function was found to be highly concordant among affected siblings. Because affected siblings have identical genotypes at the CFTR locus, this observation indicated that the nature of the CF mutation was strongly correlated with parameters status. Before doning of the CFTR gene, this concept was supported by a study of DNA markers that flanked the gene; the results suggested that individuals who were parameters sufficient carried different mutations than those who were parameteric insufficient. Once the gene

was cloned, a subset of CFTR mutations was found to be associated with preserved pancreatic function. A multicenter collaborative study confirmed this result but also emphasized that genotype is not completely predictive of pancreatic phenotype." For example, most of 396 AF508 homozygotes were pancreatic insufficient, but 10 of these patients had preserved pancreatic function.13 Similarly, patients corrying a mutation associated with preserved pancreatic function (R117H) were predominantly but not exclusively pancreatic sufficient." Other mutations associated with mild pancreatic disease show a high but not exclusive association with preservation of pancreatic function. CFTR-bearing mutations associated with pancreatic sufficiency retain partial function, whereas nonfunctional mutations give rise to severe pancreatic disease."

As with other features of the CF phenotype, sweat chloride concentrations can vary widely. The average sweat chloride concentration in CF patients is about 100 mM/L, but levels range from 60 mM/L to 160 mM/L. a Although most patients with CF have sweat chloride concentrations greater than 60 mM/ L, a small fraction, approximately 1% to 2%, have a sweat chloride value in the normal range (i.e., <60 mM/L). Although there is no clear correlation between the level of sweat chloride abnormality and sevenity of lung disease, there is evidence to suggest that pattents with pancreatic sufficiency have less abnormal sweat chloride concentrations. 12 o For instance, AF508/R117H compound heterozygotes have lower sweat chloride concentrations than age-matched and sexmatched AF508 homozygotes.13 Because R117H is also associated with pancreatic sufficiency, this indicates that mutations producing mild pancreatic disease may be associated with less abnormal sweat chloride concentrations. This is not the case for all mutations, however. CF patients with the R334W mutation are frequently pancreatic sufficient but have sweat chloride concentrations similar to AF508 homozygotes. The mutation G85E has been associated with mild and severe pancreatic disease. Some patients with GBSE have low sweat chloride levels (<60 mM/L), whereas most appear to have levels comparable to AF508 homozygotes. ** In CF patients with the G85E mutation, genetic background is likely a confounding factor that contributes to the clinical presentation.

One of the most consistent features of CF is male infertility, principally resulting from absence of the vas deferens bilaterally. 4.40 The fact that healthy male carriers of CFTR mutations (e.g., fathers of CF patients) are fertile indicates that male infertility occurs when CFTR activity falls below a 50% threshold. The CFTR genotypes 3849 + 10Kb C→T/ΔF508 and 3849 + 10Kb C→T/W1282X have been observed in a few fertile men with CF; here, fertility was attributed to 3849+10Kb C→T a mRNA splicing mutation because the ∆F508 and W1282X mutations were considered severe 2 to Some 3849+10Kb C→T compound heterozygotes were infertile, however. These observations suggest that the 3849 + 10Kb C-T mutation permits CFTR biosynthesis at or near the threshold level necessary to avoid intertility. Individual variation in proteins involved in the splicing process may affect the level of functional CFTR produced, accounting for the

phenotypic discrepancy.

An alternate approach to genotype-phenotype studies involves characterization of distinct phenotypes and determination of the underlying genotypes. CBAVD is a distinct autosomal recessive disorder of infertility in otherwise healthy men that is estimated to affect 1 in 125.4 Approximately 75% of men with CSAVD have CFTR mutations on both alleles. Although not considered to be fully penetrant, a common variation in the gene that causes a mRNA splicing abnormality (5T) occurs on 12% of CBAVD alleles. These data illustrate the phenotypic variability associated with mutations in the CFTR gene. Analysis of other CF-related disorders (i.e., pancreatitis, and disseminated bronchiectasis, as an a and allergic bronchopulmonary aspergillosis⁴⁷) has revealed similar results: A

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haracterizagenotypes. a otherwise 75% of men msidered to NA splicing lustrate the Analysis of ctasts,²⁰ 10 to r results: A diversity of seemingly disparate clinical diseases are, in part, attributable to mutations in CFTR.

The high degree of variability in CF suggests that other factors must be important in the development of disrase in the individual patient. The observation of phenotypic variability within affected sibships supports this contention. Genetic modifiers of the CF phenotype are evident from pedigree analysis, population studies, and animal models. The clinical investigation of a kindred cosegregrating CF and autosomal dominant polycystic kidney disease revealed amelioration of renal and hepatic manifestations for patients with both disorders. This unique observation illustrates that CFTR is a critical component in the coordination of ion movement across epithelial membranes and suggests that the abnormal electrolyte transport characteristic of CF may be restored, in part, by pharmacologic regulation of separate ion channels. A study of 149 CF patients in Denmark revealed that certain allelic variants of mannose-binding lectin (a lung surfactant-like protein thought to provide protection from bacterial infection) were associated with an increased risk of bacterial infection and ensuing severity of lung disease. Consequently, mannose-binding lectin may provide a target for therapeutic intervention.

Assessing the contribution of other genes to the CF phenotype is difficult in human populations because of a high degree of genetic diversity. Studies are often performed in animal models in which selective breeding can create more homogeneous genetic backgrounds to observe the phenotypic consequences of select CFTR mutations. The creation of numerous CF mouse lines facilitates study of the contribution of genetic background to CF phenotype in mice. 12.0, 61 As suspected from human studies, the genetic background of mice can influence the severity of the disease, in the intestine and in the lungs. * . * One of the problems with CF mice is that they do not develop a phenotype that is similar to humans." Intestinal obstruction leading to early death is a common feature in mice, whereas disease of the pancreas and lungs is minimal. It has been suggested that CF mice do not develop lung disease because endogenous caldum-activated chloride channels compensate for the deficiency in CFTR-mediated chloride conductance. In support of this hypothesis, inbred congenic mice carrying a CFTR defect appear to develop lung disease as a result of lack of a non-CFTR chloride channel normally present in outbred mice. Although the physiologic status of airway and intestinal epithelia in humans is not precisely the same as in mice, the murine studies illustrate the importance of other gene products in the development of lung and intestinal disease." These studies suggest that human homologues likely exist for genetic modifiers identified in mice. For example, an intestinal modifier locus in mice is syntenic with a region on human chromosome 19, and segregation analysis with linked DNA markets reveals concordance among CF siblings.72

SUMMARY

The genotype-phenotype relationship in CF is complex despite its being a monogenic disorder. Factors that contribute to variability among individuals with the same genotype are an area of intense study. Nevertheless, certain conclusions can be derived from these studies. First, mutations in both CPTR alleles cause the CF phenotype. Homozygosity for ΔF508 or compound heterozygosity for ΔF508 and another severe mutation (e.g., C551D, W1282X) cause classic CF: obstructive pulmonary disease, exocrine pancreatic deficiency, male infertility, and elevated sweat chloride concentrations. Clinical variability is

observed among patients with the classic form of CF, especially with regards to the severity of lung disease. Although understanding of the role of other genes and environment in the development of lung disease is incomplete, evidence that other factors are important raises the possibility that therapeutic intervention may be possible at several levels. Second, genutype correlates more dosely with certain features of the CF phenotype than others. Mutations that allow partial function of CFTR are often associated with pancreatic sufficiency, occasionally identified with normal sweat gland function, and sporadically correlated with mild lung disease. Partially functioning mutants rarely prevent maldevelopment of the male reproductive tract; an exception is 3849+10Kb C-T. These observations suggest that certain tissues require different levels of CFTR function to avoid the pathologic manifestations typical of CF. The genetic cause of several disorders that clinically overlap CF can be attributed, in part, to mutations in CFTR. Finally, molecular analysis of disease-associated mutations identified through genotype-phenotype studies provides a mechanistic framework for genotype-based therapeutic approaches and pharmaceutical interventions.

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